

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510
<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual <u>Caterpillar Inc</u>			
2. Address Address1 <u>1425 K Street, N.W.</u> Address2 <u>Suite 400</u> City <u>Washington</u> State <u>DC</u> Zip Code <u>20005</u> Country <u>USA</u>			
3. Principal place of business (if different than line 2) City _____ State _____ Zip Code _____ Country _____			
4a. Contact Name <u>Mr. Christopher J. Myers</u>		b. Telephone Number <u>2024660671</u> c. E-mail <u>Myers_Chris@cat.com</u>	
		5. Senate ID# <u>8475-12</u>	
7. Client Name <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality <u>Caterpillar Inc</u>		6. House ID# <u>313190000</u>	

TYPE OF REPORT

8. Year 2014 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1 - 9/30) ☒ Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ Termination Date _____ 11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

<p style="text-align: center;">12. Lobbying</p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input type="checkbox"/> \$ _____</p> <p>Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</p>	<p style="text-align: center;">13. Organizations</p> <p>EXPENSE relating to lobbying activities for this reporting period were:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ <u>1,320,000.00</u></p> <p>14. REPORTING Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>
---	--

Signature Digitally Signed By: Christopher J. Myers

Date 10/20/2014
6:49:39 PM

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRD

16. Specific lobbying issues

Trade Promotion Authority (H.R. 3830, S. 1900) (entire bill)

Developing countries duties (S.431 & S.432) (entire bill)

Russia Sanctions (S. 2828)

Export-Import Bank. Legislation to reauthorize the US Export-Import Bank. (H J Res. 124)

To extend the Generalized System of Preferences. (H.R. 2709 & S.1331) (entire bill)

Africa, Growth & Opportunity Act (no bill)

Trans-Pacific Partnership (no bill)

Transatlantic Trade and Investment Partnership (no bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, U.S. Trade Representative (USTR), Commerce - Dept of (DOC), U.S. Agency for International Development (USAID), Natl Security Council (NSC), Executive Office of the President (EOP), Export-Import Bank of the United States (EXIM Bank)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
William	Lane			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>
Chris	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code HCR

16. Specific lobbying issues

H.R.3489 - To amend section 1341 of the Patient Protection and Affordable Care Act to repeal the funding mechanism for the transitional reinsurance program in the individual market, and for other purposes. (entire bill)

S. 2253, Health Care Fairness and Stability Act (entire bill).

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi		Labor Counsel, Senate HELP Committee	<input checked="" type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code LBR

16. Specific lobbying issues

OSHA (Proposed Occupational Safety and Health Administration regulations related to silica)

NLRB (proposed National Labor Relations Board regulations related to ambush election)

OFCCP (Proposed Office of Federal Contractor Compliance Programs regulations related to disabilities)

Proposed rule from Department of Labor on the Fair Pay Safe Workplaces Executive Order

Proposed rule from the Occupational Safety and Health Administration on Improve Tracking of Workplace Injuries and Illness

Potential decisions by the National Labor Relations Board on joint employers.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Labor - Dept of (DOL), Executive Office of the President (EOP)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi		Special Assistant, Department of Labor	<input checked="" type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAX

16. Specific lobbying issues

H.R. 4916, Power Act (entire Bill)

S. 2260, "EXPIRE Act of 2014 (R&D tax credit, CFC Look-thru, and active financing exception)

H.R. 4429, Permanent Active Financing Exception Act of 2014 (entire bill)

Corporate tax reform (no bill)

H.R.4438, American Research & Competitiveness Act of 2014 (entire bill)

H.R. 4464, Permanent CFC Look-Through Act of 2014 (entire bill)

Legislation to improve the alternative simplified R&E credit (no bill)

Compliance with US corporate tax laws and Congressional oversight of US corporate tax laws. (no bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Joseph	Allen			<input type="checkbox"/>
Chris	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RET

16. Specific lobbying issues

H.R. 5381, To Amend the Nondiscrimination provisions of the Internal Revenue Code of 1986 to protect older, longer service participants (entire bill)
S. 2855, Retirement Security Preservation Act of 2014 (entire bill)
Treasury Notice 2014-5 (changes)
Pension Benefit Guarantee Corporation Premiums (no bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code IMM

16. Specific lobbying issues

S. 744, the Border Security, Economic Opportunity, and Immigration Modernization Act (entire bill)

H.R. 2131, The SKILLS Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code EDU

16. Specific lobbying issues

H.R. 803, Workforce Innovation and Opportunity Act (entire bill)

Reauthorization of the Carl D. Perkins Career and Technical Education Act (no bill).

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi		Professional Staff Member- House Education, Workforce Comm.	<input checked="" type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BUD

16. Specific lobbying issues

H.R. 4870, Department of Defense Appropriations Act, 2015 (H. Amdt. 926 on debarring contractors for violations of the Fair Labor Standards Act)
H.R. 5016, Financial Services Appropriations Act (H. Amdt.1074 on debarring contractors for violations of the Fair Labor Standards Act).

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input checked="" type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code ENG

16. Specific lobbying issues

Combined Heat & Power / Energy Efficiency (no bill)
 BCSE- Factbook Briefing to Senate Energy Committee Staff (no bill)
 Energy Efficiency (no bill)
 EPA Green House Gas Rules
 H.R. 2 The American energy Solutions for Lower Costs and More American Jobs Act (entire Bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

Environmental Protection Agency (EPA), U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Joseph	Allen			<input type="checkbox"/>
Jason	Lynn			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRA

16. Specific lobbying issues

Map 21 Reauthorization (no bill)
H.R. 5021, Highway and Transportation Funding Act (entire Bill)
H.R. 5449, PRRIA Reauthorization (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES
--

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>
Dwayne	Bolton			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code CPT

16. Specific lobbying issues

S. 1720, Patent Transparency and Improvements Act of 2013 (entire bill)
S. 2267, Defend Trade Secrets Act of 2014, and H.R. 5233, Trade Secrets Protection Act of 2014, (entire bills)
H.R. 624, Cyber Intelligence Sharing and Protection Act, and S. 2588, Cybersecurity Information Sharing Act of 2014 (entire bills)
Legislation regarding bad faith patent assertions (no bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES
--

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code MAN

16. Specific lobbying issues

S. 1468 and H.R. 2996- Revitalize American Manufacturing and Innovation Act of 2013 (entire bills)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address _____
 City _____ State _____ Zip Code _____ Country _____

21. Client new principal place of business (if different than line 20)

City _____ State _____ Zip Code _____ Country _____

22. New General description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

First Name	Last Name	Suffix	First Name	Last Name	Suffix
1			3		
2			4		

ISSUE UPDATE

24. General lobbying issue that no longer pertains

☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

Name	Address	Principal Place of Business (city and state or country)

Name	Address				Principal Place of Business (city and state or country)	
	Street Address	State/Province	Zip	Country		
	City					
	Street Address					
	City	State/Province	Zip	Country		
					City	
					State	Country

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

<div>1</div>	<div>2</div>	<div>3</div>
--------------	--------------	--------------

FOREIGN ENTITIES

27. Add the following foreign entities:

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
	Street Address					
	City	State/Province	Country			
				City State Country		%

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

<div>1</div>	<div>3</div>	<div>5</div>
<div>2</div>	<div>4</div>	<div>6</div>